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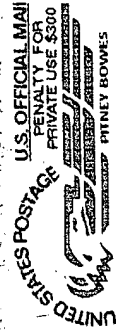
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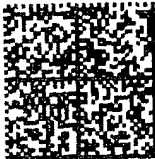
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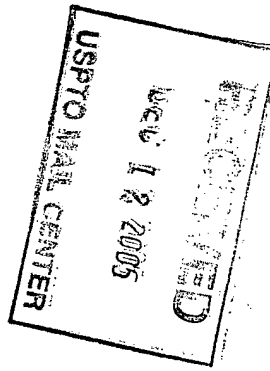
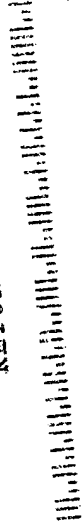


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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/087,360	03/01/2002	Sang K. Cha	1907	3325

7590

10/20/2005

Chung K. Ko  
1263 Lakeside Dr. #2190  
Sunnyvale, CA 94085

EXAMINER
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DANG, THANH HA T

ART UNIT	PAPER NUMBER
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2163

DATE MAILED: 10/20/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

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<b>Office Action Summary</b>	Application No. 10/087,360	Applicant(s) CHA ET AL.	
	Examiner Thanh-Ha Dang	Art Unit 2163	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☒ Responsive to communication(s) filed on 05 September 2005.
- 2a) ☐ This action is **FINAL**.                      2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 1-32 is/are pending in the application.
- 4a) Of the above claim(s) 17-32 is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-16 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 01 March 2002 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All    b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

- |  |   |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)  | 4) <input type="checkbox"/> Interview Summary (PTO-413)<br>Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)                                   | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152)             |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)<br>Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____  |

P

## DETAILED ACTION

1. Elected Claims 1-16 are rejected in this Office Action.

### ***Claim Rejections - 35 USC § 112***

2. The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter, which the applicant regards as his invention.

Claim 1 recites the limitation "... the cache behavior ..." in the preamble.

There is insufficient antecedent basis for this limitation in the claim.

Claim 12 recites the limitation "... the cache behavior ..." in the preamble.

There is insufficient antecedent basis for this limitation in the claim.

### ***Claim Rejections - 35 USC § 101***

3. 35 U.S.C. 101 reads as follows:

Whoever invents or discovers any new and useful process, machine, manufacture, or composition of matter, or any new and useful improvement thereof, may obtain a patent therefor, subject to the conditions and requirements of this title.

Claims 1 and 12 are rejected under 35 U.S.C. 101 because the claimed invention is directed to non-statutory subject matter.

Claim 1 recites a method of improving the cache behavior comprising the steps of "associating with each node ... node"; "representing ... MBR"; and "compressing ... quantization". The steps are broadly recited without regard to any tangible way of implementing them that they are directed to the abstract

idea. The abstract idea comprising the steps are not instantiated into some specific physical implementation which would result in a practical application producing a concrete, useful, and tangible result to form the basis of statutory subject matter under 35 U.S.C. 101.

Claim 12 recites a of improving the cache behavior comprising the steps of "associating with each node ... node"; "representing ... shape"; and "compressing ... quantization". The steps are broadly recited without regard to any tangible way of implementing them that they are directed to the abstract idea. The abstract idea comprising the steps are not instantiated into some specific physical implementation which would result in a practical application producing a concrete, useful, and tangible result to form the basis of statutory subject matter under 35 U.S.C. 101.

### ***Claim Rejections - 35 USC § 102***

4. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

Claims 1-2, 6-9, and 11 are rejected under 35 U.S.C. 102(e) as being anticipated by U.S. Patent No. 6,470,344 issued to Kothuri et al. ("Kothrui").

As to **Claim 1**, Kothuri teaches “a method of improving the cache behavior of accessing a multidimensional index structure resident in main memory for facilitating reference to data objects stored in a database, where the index structure consists of internal nodes having pointers to child nodes and leaf nodes having to database objects, the method comprising the steps of:

- associating with each node a minimum bounding rectangle ("MBR"), wherein each MBR is the minimal hyper-rectangle enclosing the corresponding data object in the case of a leaf node and all the hyper-rectangles in the child node in the case of an internal node" (Figures 1A and 7 illustrate associating with each node a minimum bounding rectangle, column 9, lines 1-21);
- Kothuri teaches “representing each of one or more said MBRs by a relative representation of an MBR ("RMBR") that is the coordinates of the MBR represented relative to the coordinates of a reference MBR" (Figures 3 and 6A display the relative representation of a minimum bounding rectangle, column 11, lines 47-53); and
- “compressing each RMBRs into a quantized, RMBR ("QRMBR") by quantizing each RMBR to finite precision by cutting off trailing insignificant bits after quantization" (column 11, lines 60-67 and column 12, lines 1-62 wherein illustrates an equivalent process of cutting off trailing insignificant bits after quantization using truncate or rounded down procedure).

As to **Claim 2**, Kothuri teaches "wherein said multi-dimensional index structure is an R-tree" (Figure 4, illustrates the R-tree, column 12, lines 55-56).

As to **Claim 6**, Kothuri teaches "wherein each internal node has a plurality of entries where the first entry has a QRMBR and a pointer while the rest of the entries have only QRMBRs" (column 12, lines 49-54).

As to **Claim 7**, Kothuri teaches "wherein each node stores a reference MBR" (Figures 1A and 1B illustrate each node stores a reference MBR).

As to **Claim 8**, Kothuri teaches "wherein the reference MBR of a node is obtained from the corresponding QRMBR stored in the node's parent node" (column 12, lines 49-54).

As to **Claim 9**, Kothuri teaches "wherein the internal nodes store QRMBRs while the leaf nodes store MBRs" (column 9, lines 10-21).

As to **Claim 11**, Kothuri teaches "wherein said database resides in disk" (column 6, lines 14-16).

Claims 12-14 and 16 are rejected under 35 U.S.C. 102(e) as being anticipated by U.S. Patent No. 6,470,344 issued to Kothuri et al. ("Kothrui").

As to **Claim 12**, Kothuri teaches "a method of improving the cache behavior of accessing a multidimensional index structure resident in main memory for facilitating reference to data objects stored in a database, where the index structure consists of internal nodes having pointers to child nodes and leaf nodes having to database objects, the method comprising the steps of:

- associating with each node a minimum bounding shape, a multi-dimensional shape enclosing the corresponding data object in the case of a leaf node and all the minimum bounding shapes in the child node in the case of an internal node” (Figure 1, column 8, lines 19-39);
- “representing each of one or more said minimum bounding shape by a relative representation that is the coordinates of the minimum bounding shape represented relative to the coordinates of a reference minimum bounding shape” (Figures 3 and 6A display the relative representation of a minimum bounding shape wherein the shape is equivalent to the illustrated rectangle, column 11, lines 47-53); and
- “compressing each relative representation into a quantized representation by quantizing each relative representation to finite precision by cutting off trailing insignificant bits after quantization” (column 11, lines 60-67 and column 12, lines 1-62 wherein illustrates an equivalent process of cutting off trailing insignificant bits after quantization using truncate or rounded down procedure).

As to **Claim 13**, Kothuri teaches “wherein each internal node has a plurality of entries where the first entry has a quantized representation and a pointer while the rest of the entries have only quantized representations” (column 12, lines 49-54).



As to **Claim 14**, Kothuri teaches "wherein the reference minimum bounding shape of a node is obtained from the corresponding quantized representation stored in the node's parent node" (column 12, lines 49-54).

As to **Claim 16**, Kothuri teaches "wherein said database resides in disk" (column 6, lines 14-16).

### ***Claim Rejections - 35 USC § 103***

5. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

Claims 3-5 are rejected under 35 U.S.C. 103(a) as being unpatentable over U.S. Patent No. 6,470,344 issued to Kothuri et al. ("Kothuri") as applied to claim 1 above, and further in view of U.S. Patent No. 6,868,410 issued to Fortin et al. ("Fortin").

As to **Claim 3**:

Kothuri teaches the elements of Claim 1 as stated above.

Kothuri does not explicitly teach "wherein said multi-dimensional index structure is an R\*-tree".

Fortin teaches "wherein said multi-dimensional index structure is an R\*-tree" (column 8, lines 31-65).

It would have been obvious to a person of ordinary skill in the art at the time of the invention to combine the teaching of Fortin with the teaching of Kothuri in order to provide a method or system which integrates multi-dimensional index structure such as an R\*-tree, thereby providing a method or system which further improved storage or memory utilization and robustness in processing data distribution.

As to **Claim 4**:

Kothuri teaches the elements of Claim 1 as stated above.

Kothuri does not explicitly teach "wherein said multi-dimensional index structure is an R+-tree".

Fortin teaches "wherein said multi-dimensional index structure is an R+-tree" (column 8, lines 31-65).

It would have been obvious to a person of ordinary skill in the art at the time of the invention to combine the teaching of Fortin with the teaching of Kothuri in order to provide a method or system which integrates multi-dimensional index structure such as an R+-tree, thereby providing a method or system which further reduced overlap of minimum bounding rectangles.

As to **Claim 5**:

Kothuri teaches the elements of Claim 1 as stated above.

Kothuri does not explicitly teach "wherein said multi-dimensional index structure is a Hilbert R-tree".

Fortin teaches "wherein said multi-dimensional index structure is a Hilbert R-tree" (column 8, lines 31-65).

It would have been obvious to a person of ordinary skill in the art at the time of the invention to combine the teaching of Fortin with the teaching of Kothuri in order to provide a method or system which integrates multi-dimensional index structure such as a Hilbert R-tree, thereby providing a method or system which further improved storage or memory utilization.

Claim 10 is rejected under 35 U.S.C. 103(a) as being unpatentable over U.S. Patent No. 6,470,344 issued to Kothuri et al. ("Kothuri") as applied to claim 1 above, and further in view of "Compacting Discriminator Information for Spatial Trees by Inga Sitzmann and Peter J. Stuckey, Copyright 2001, Australian Computer Society, Inc.

As to **Claim 10**:

Kothuri teaches the elements of Claim 1 as stated above.

Kothuri does not explicitly teach "wherein said database resides in main memory".

Sitzmann and Stuckey teach "wherein said database resides in main memory" (Abstract, page 167).

It would have been obvious to a person of ordinary skill in the art at the time of the invention to combine the teachings of Sitzmann and Stuckey with the teaching of Kothuri in order to provide a method or system wherein database will fit entirely in main memory (Sitzmann and Stuckey, Introduction).

Claim 15 is rejected under 35 U.S.C. 103(a) as being unpatentable over U.S. Patent No. 6,470,344 issued to Kothuri et al. ("Kothrui") as applied to claim 12 above, and further in view of "Compacting Discriminator Information for Spatial Trees by Inga Sitzmann and Peter J. Stuckey, Copyright 2001, Australian Computer Society, Inc.

As to **Claim 15**:

Kothuri teaches the elements of Claim 12 as stated above.

Kothuri does not explicitly teach "wherein said database resides in main memory".

Sitzmann and Stuckey teach "wherein said database resides in main memory" (Abstract, page 167).

It would have been obvious to a person of ordinary skill in the art at the time of the invention to combine the teachings of Sitzmann and Stuckey with the teaching of Kothuri in order to provide a method or system wherein database will fit entirely in main memory (Sitzmann and Stuckey, Introduction).

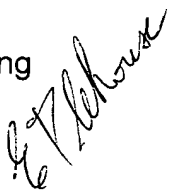
**Contact Information**

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Thanh-Ha Dang whose telephone number is 571-272-4033. The examiner can normally be reached on Monday-Friday from 9:00 AM to 5:00 PM.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Safet Metjahic can be reached on 571-272-4023. The fax phone number for the organization where this application or proceeding is assigned is 571-273-4033.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

Thanh-Ha Dang  
Examiner  
Art Unit 2163



**Notice of References Cited**

Application/Control No.

10/087,360

Applicant(s)/Patent Under  
Reexamination  
CHA ET AL.

Examiner

Thanh-Ha Dang

Art Unit

2163

Page 1 of 1

**U.S. PATENT DOCUMENTS**

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	Classification
	A	US-6,868,410	03-2005	Fortin et al.	706/45
	B	US-6,470,344	10-2002	Kothuri et al.	707/100
	C	US-			
	D	US-			
	E	US-			
	F	US-			
	G	US-			
	H	US-			
	I	US-			
	J	US-			
	K	US-			
	L	US-			
	M	US-			

**FOREIGN PATENT DOCUMENTS**

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Country	Name	Classification
	N					
	O					
	P					
	Q					
	R					
	S					
	T					

**NON-PATENT DOCUMENTS**

*		Include as applicable: Author, Title Date, Publisher, Edition or Volume, Pertinent Pages)
	U	"Compacting Discriminator Information for Spatial Trees" by Inga Sitzmann and Peter J. Stuckey, Copyright 2001, Australian Computer Society, Inc.
	V	
	W	
	X	

\*A copy of this reference is not being furnished with this Office action. (See MPEP § 707.05(a).)  
Dates in MM-YYYY format are publication dates. Classifications may be US or foreign.

# Compacting Discriminator Information for Spatial Trees

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## Abstract

Cache-conscious behaviour of data structures becomes more important as memory sizes increase and whole databases fit into main memory. For spatial data, R-trees, originally designed for disk-based data, can be adopted for in-memory applications. In this paper, we will investigate how the small amount of space in an in-memory R-tree node can be used better to make R-trees more cache-conscious. We observe that many entries share sides with their parents, and introduce the partial R-tree which only stores information that is not given by the parent node. Our experiments showed that the partial R-tree shows up to 30 per cent better performance than the traditional R-tree. We also investigated if we could improve the search performance by storing more descriptive information instead of the standard minimum bounding box without decreasing the fanout of the R-tree. The partial static O-tree is based on the O-tree, but stores only the most important part of the information of an O-tree box. Experiments showed that this approach reduces the search time for line data by up to 60 per cent.

**Keywords:** Index structures, spatial databases, in-memory databases.

## 1 Introduction

Latest surveys have shown that the availability of cheap memory will lead to computer systems with main memory sizes in the order of terrabytes over the next 10 years [Bernstein et al., 1998]. Many databases will then fit entirely in main memory. For database technology, this means that the traditional bottleneck of memory-disk latency will be replaced by the cpu-memory latency as the crucial factor for database performance. It is therefore increasingly important for database index structures and algorithms to become sensitive to the cache behaviour.

Recent research on index structures includes several papers addressing cache-sensitive index structures. In [Rao and Ross, 2000], the authors propose a pointer elimination technique for B+-trees. Nodes of the CSE+-tree are stored contiguously and therefore only the pointer to the first child node needs

to be stored in the parent. This pointer elimination technique was extended to spatial data structures in the paper [Ross et al., 2001] which introduced cost-based unbalanced R-trees (CUR-trees). The cost factors of the cache behaviour of a given architecture can be modeled into a cost function and a CUR-tree is built which is optimized with respect to the cost function and a given query model. Prefetch instructions in combination with multiple-size nodes can further assist to achieve better cache behaviour [Chen et al., 2001]. Other methods improve the space utilization by compressing the entries in R-tree nodes to get wider trees [Kim et al., 2001]. The values describing the discriminator or minimum bounding box (MBB) in R-trees are represented relatively to its parent and the number of bits per value is reduced by mapping the values to a coarser representation. The problem of cache-sensitivity of data structures with complex keys is addressed in the paper [Bohannon et al., 2001] which uses partial keys of fixed size.

In this paper, we will investigate how we can make better use of in-memory spatial tree nodes by eliminating unnecessary information in the discriminator and storing more descriptive information than the minimum bounding boxes traditionally used to approximate the spatial objects.

In-memory R-trees typically have very small node sizes, between 3 and 7 entries, because the natural node size is determined by the size of a cacheline. We observed that for such R-trees a substantial part of the information is stored multiple times at different levels in the tree. Very often, entries in the nodes share at least one of their sides with the enclosing parent bounding box.

We propose the use of partial information in R-tree nodes and show how this can improve space utilization and performance of R-trees. We introduce the concept of *partial R-trees* where information is handed down from parent to children to eliminate multiple storing of values. Only values which add information about the entry that is not already given in the parent are stored in the node.

We also investigate how more descriptive information than the standard MBB can be stored while not using up additional space compared to the standard R-tree. The *partial static O-tree* is based on the O-tree [Sitzmann and Stuckey, 2000], but stores at most four values only, thus not increasing the fanout of the tree while providing better discriminator information and thus improving the search.

Copyright ©2001, Australian Computer Society, Inc. This paper appeared at the Thirteenth Australasian Database Conference (ADC2002), Melbourne, Australia. Conferences in Research and Practice in Information Technology, Vol. 5. Xiaofang Zhou, Ed. Reproduction for academic, not-for profit purposes permitted provided this text is included.

The structure of the paper is as follows. Section 2 briefly describes R-trees and talks about their in-memory use. We present partial R-trees in Section 3, and describe how redundant information can be eliminated and how this affects insertion and search. Section 4 describes how to store more descriptive information about the entries in partial O-trees. We present experimental results in Section 5 before concluding our paper in Section 6 with a summary and an outlook to future work in Section 7.

## 2 Using R-trees in main memory

### 2.1 The R-tree structure

The R-tree and its variants [Guttman, 1984, Beckmann et al., 1990] is a data structure for  $n$ -dimensional data. It has originally been designed to index disk-based data.

An R-tree node  $t$  has a number of subtrees  $t.n$ , and for each  $1 \leq i \leq t.n$  a discriminator or minimum bounding box (MBB)  $t[i].d$  (which is an array of four side values: left, right, bottom, top), and a pointer  $t[i].t$ . The pointer points at an object identifier if the node is a leaf node. Otherwise it points at another R-tree node. R-trees are built with a maximum number of entries per node  $M$  and a minimum number of entries per node  $m \leq M/2$ .

Further rules which determine the shape of the R-tree are:

1. All leaf nodes appear on the same level.
2. Every node which is not the root node contains between  $m$  and  $M$  entries.
3. The root node has at least two entries unless it is a leaf node.

If insertion of an entry in a node results in an overfull node, the node is split. Splitting algorithms with linear and quadratic complexity have been presented in the literature [Guttman, 1984, Beckmann et al., 1990].

### 2.2 Differences between disk and in-memory R-trees

The concept of the R-tree to organize spatial objects in a balanced search tree by using minimum bounding boxes (MBBs) as discriminators works well in the disk-based context. In this context, the I/O cost of R-trees is directly dependent on the number of block accesses, and is very competitive compared to other spatial access methods. This approach can also be transferred to in-memory use of R-trees and works similarly well with respect to the cache-behaviour of R-trees, where performance depends on the number of cache misses occurring. Thus, the strength of the R-tree concept is the same for disk-based and in-memory use.

Looking at the size of the R-tree nodes, we observe that, as expected, the number of entries per node in the in-memory case is significantly smaller. In the disk-based case with a page size of 4 KBytes, we can fit 170 entries into one node of a regular R-tree (assuming 4 bytes per number) and 255 if we use the CSB+-technique [Rao and Ross, 2000] to eliminate pointers. For in-memory R-trees using a cacheline

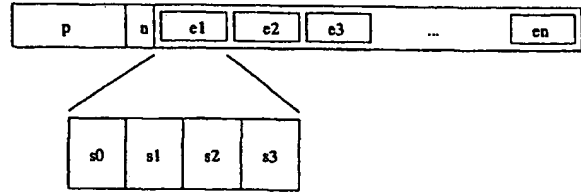


Figure 1: Memory layout of a CSB+-R-tree node

of 64 bytes, a normal R-tree node using 4 bytes per number can only store 3 entries. The CSB+-pointer elimination technique does not increase the fanout of the tree in this case. Assuming 2 bytes per number, we can fit 5 entries, and with the CSB+-technique, 7 entries per node.

Figure 1 shows the memory layout of a CSB+-R-tree node. A node consists of the pointer  $p$  to the contiguous array of child nodes, a counter  $n$  for the number of entries and entries  $e_1$  to  $e_n$ . Each entry  $e_i$  consists of four sides  $s_0$  to  $s_3$ . As the child nodes of a CSB+-R-tree node  $t$  are stored contiguously, we can refer to the  $i^{\text{th}}$  child node of  $t$  as  $t.p + (i - 1)$  (using C style pointer addition), using the base pointer  $t.p$  and adding the offset  $i$ . In the conventional R-tree notation, this corresponds to  $t[i].t$ , the  $i^{\text{th}}$  child node of a conventional R-tree node.

Analyzing the characteristics of small R-tree nodes, we can make some observations which are quite different to the large R-tree nodes used for disk-based data:

- the discriminator MBBs are usually very small and entries share sides with the enclosing MBB
- increasing the fanout of small nodes has an immediate effect on the height of the tree ( $\lceil \log_3(10^6) \rceil = 13$  and  $\lceil \log_4(10^6) \rceil = 10$ )

We investigate whether we can improve performance of in-memory R-trees by making use of the two properties stated above.

## 3 Eliminating multiply stored information

### 3.1 Analyzing R-trees with small nodes

The idea for partial R-trees was motivated by a small experiment. Using simple datasets of lines and polygons (see Section 5), we counted how many discriminators in an R-tree share one or more sides with their parents when using nodes of small sizes. The results in Table 1 are for an R-tree with 3 entries per node.

File	Sides shared with parent (in %)					Avg. sides
	1	2	3	4	0	
110000	30.14	49.50	13.38	0.01	6.80	2.30
150000	31.20	48.03	14.47	0.01	6.15	2.28
1100000	30.93	48.35	14.55	0.01	6.03	2.28
p10000	27.35	29.67	18.72	7.40	16.79	2.27
p50000	27.74	28.80	10.09	7.73	16.61	2.26
p100000	27.79	20.04	19.12	7.75	16.27	2.25

Table 1: MBB sides shared with parent MBB



On average, only 2.25 to 2.3 sides of a discriminator have to be stored per entry as shown in the last column. For all files, at least 83 per cent of discriminators share at least one side with their parent. We will propose a method where the information from the parent discriminator is used to construct the complete box and show that this increases the fanout of the R-tree nodes, resulting in better search performance.

### 3.2 A more compact R-tree representation

We propose storing only those sides of a discriminator which the entry does not have in common with its parent. Consider the objects depicted in Figure 2.

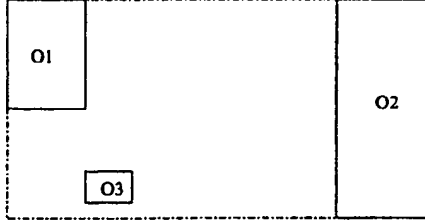


Figure 2: Objects in an R-tree node

The dashed line represents the minimum bounding box of a node that contains the three objects O1, O2, and O3. As O1 shares the left and top side with the parent, we only need to store the right and bottom side. For O2, only the left side needs to be stored as the other three sides are given by the parent discriminator. All four sides for O3 must be stored in the node as the entry shares no side with the parent.

The structure of an R-tree node with partial information will therefore be more dynamic than the traditional R-tree node structure. Instead of storing four sides for every discriminator, we store between 0 and 4 sides per entry. The structure is shown in Figure 3.

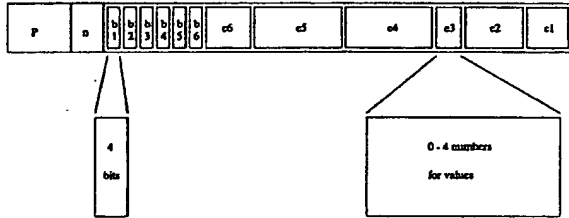


Figure 3: The node structure of a partial R-tree

The partial R-tree node contains a pointer and a counter for the number of entries in the node. The first part of the node then contains a sequence of 4-bit fields. The bitfields correspond to the entries in ascending order. Each bitfield indicates which sides are stored in the node and which sides have to be inherited from the parent. The actual sides are stored in reverse order starting from the end of the node. This allows us to make full use of the space of the R-tree node and to minimize copy and comparison operations during insertion and search.

As Table 1 shows, we only store about 2.25 sides per discriminator. Assuming that a side is 4 bytes large, we save  $1.75 \times 4 = 7$  bytes, which corresponds to 56 bits. Using 4 bits per entry for extra information, we still save 52 bits per entry.

A partial R-tree node  $s$  has a base pointer  $s.p$ , a number of entries  $s.n$ , and for each  $1 \leq i \leq s.n$  a 4-bit array  $s[i].b$  indicating which sides differ from the parent discriminator. The remainder of the node is an array of side values  $s.s$  where  $s.s[j]$  is the  $j^{th}$  side value in the node (corresponding to the side of the  $j^{th}$  true bit occurring in the bit fields). Here we ignore the fact that this array is stored in reverse order. We assume  $s.l$  gives the number of sides stored in the partial R-tree node. Note, this is not actually stored in the node, since it can be calculated from the number of true bits in the 4-bit fields.

### 3.3 Creating the partial representation

Given an R-tree node  $t$  with parent discriminator  $pd$ , we can create a corresponding partial R-tree node  $s$  by mapping each entry in  $t$  to its partial information using the algorithm ToPartial.

```

ToPartial( $t, pd$ )
 $s.p := t.p$ 
 $s.n := t.n$ 
 $s.l := 0$ 
for  $i := 1$  to  $t.n$ 
  for  $j := 0$  to 3
    if ( $pd[j] = t[i].d[j]$ )
       $s[i].b[j] := false$ 
    else
       $s[i].b[j] := true$ 
       $s.s[s.l] := t[i].d[j]$ 
       $s.l := s.l + 1$ 
return  $s$ 

```

For each discriminator  $t[i].d$  occurring in the R-tree node we check each side  $j$  versus the parent discriminator. If it is different to the corresponding side in the parent, we set the corresponding bit  $s[i].b[j]$  and store the side in the next available space in the array of sides  $s.s$ . The counter  $s.l$  keeps track of how many sides are stored in  $s$ .

### 3.4 Extracting information from a partial R-tree

To read a discriminator in a partial R-tree node, we need to combine the information from the parent discriminator with the information stored in the node. The algorithm ToComplete converts a partial R-tree node  $s$  together with its parent discriminator  $pd$  to a (complete) R-tree node.

```

ToComplete( $s, pd$ )
 $t.p := s.p; t.n := s.n$ 
 $l := 0$ 
for  $i := 1$  to  $s.n$ 
   $t[i].d := pd$ 
  for  $j := 0$  to 3
    if ( $s[i].b[j]$ )
       $t[i].d[j] := s.s[l]$ 
       $l := l + 1$ 
return  $t$ 

```

After appropriately setting the number of subtrees, the count of sides is initialized, and then each bit field is examined in turn. The discriminator is initialized to the parent discriminator and then, for each different side (marked by a true bit), the next side value is copied in.

The R-tree node  $t$ , returned from ToComplete for partial R-tree node  $s$ , is identical to the R-tree node that is given to ToPartial to construct  $s$ . No information is lost. It is important to note that for search operations we do not need to restore the entries completely. We can rather use the partial information to perform search as we will describe below.

### 3.5 Building partial R-trees

The insertion procedure of an object in a partial R-tree requires some extra steps in comparison to the standard R-tree insertion. The algorithm Insert describes the insertion of an object  $o$  with discriminator  $e$  into a partial R-tree  $s$  with discriminator  $pd$ . The algorithm effectively first converts each partial R-tree node visited to its corresponding (complete) R-tree node, performs the insertion and then converts back to a partial R-tree node.

```

Insert( $s, pd, e, o$ )
  case  $s$ 
  external:
     $t := \text{ToComplete}(s, pd)$ 
     $t.n := t.n + 1; t.p + t.n := o; t[t.n].d := e$ 
     $s := \text{ToPartial}(t, pd \cup e)$ 
    if (Full( $s$ ))
      ( $sl, sr, dl, dr$ ) := Split( $s, pd \cup e$ )
    else
      ( $sl, sr, dl, dr$ ) := ( $s, null, pd \cup e, \{\}$ )
    return ( $sl, sr, dl, dr$ )
  internal:
     $t := \text{ToComplete}(s, pd)$ 
     $i := \text{ChooseSubtree}(t, e)$ 
    ( $sl, sr, dl, dr$ ) := Insert( $s.p + i, s[i].d \cup e, o$ )
    %% replace  $t[i]$  by  $tl$  and  $tr$ 
     $t.p + i := sl; t[i].d := dl$ 
    if ( $sr \neq null$ )
       $t.n := t.n + 1; t.p + t.n := sr; t[t.n].d := dr$ 
       $s := \text{ToPartial}(t, pd \cup e)$ 
    if (Full( $s$ ))
      ( $sl, sr, dl, dr$ ) := Split( $s, pd \cup e$ )
    else
      ( $sl, sr, dl, dr$ ) := ( $s, null, pd \cup e, \{\}$ )
    return ( $sl, sr, dl, dr$ )

```

When inserting an object into an external node, we convert the node to a complete R-tree node and simply add the entry naively. The new parent discriminator is  $pd \cup e$ , that is the minimal bounding box that includes both  $pd$  and  $e$ . We then convert the expanded (completed) R-tree node back to a partial R-tree node.

As the representation of the node depends on the parent discriminator, the representation of entries other than the new entry may have changed. For example, an entry previously sharing two sides with the parent might now only share one side with the new, larger parent discriminator. The function Full tests whether the new representation is too large to

fit into the bits available in a node. A partial R-tree node  $s$  is full if  $s.n \times 4 + s.l \times \text{sidebits}$  is too great to fit in the node (together with the bits for  $s.n$  and the pointer  $s.p$ ). The number *sidebits* refers to the number of bits used to store a side (we use 32 bits).

If the new representation of the node is too large for the node, either because there was no space for the new entry, or its addition caused other entries to no longer fit, the node is then split. We use the quadratic splitting algorithms of [Beckmann et al., 1990]. The Split algorithm splits the node  $s$  into two nodes containing the same entries that will each fit in the available space. The changes are then passed back to the parent node.

For internal nodes, we convert to a (complete) R-node and select the best subtree for insertion. We choose the subtree whose discriminator shows the smallest increase in area after insertion of the new entry. Insertion is then continued in the selected subtree. The results of the insertion on the lower level may be one or two subtrees. These are added to the R-tree node, which is then converted back to a partial R-tree node. Note that we need to recalculate the representation of the node even when insertion on a lower level returns one subtree since the parent discriminator may have changed. This means, that we might have to split a node on an internal level, even if no new entry was added to it by insertion lower in the tree. We check if a split is necessary after the new representation has been determined and propagate the changes to the parent level.

The algorithms shown convert partial R-tree nodes to R-tree nodes and back again for most processing, for ease of explanation. In the implementation most conversion of discriminators is avoided.

### 3.6 Searching partial R-trees

When searching a partial R-tree, we do not need to reconstruct the complete entry before we can determine whether search should continue in a child tree or not. Instead, we only need to compare the stored sides of an entry with the query as we know that the inherited sides match the query.

This is clarified by Figure 4. Imagine we have determined that query box  $q$  intersects with the parent discriminator  $pd$  of some entry with discriminator  $e$ . In order to determine this we have checked that the box  $q$  does not lie completely above  $pd$ , to the left of  $pd$ , etc. These comparisons are represented by the four dashed arrows. In order to determine that  $q$  intersects  $e$  we do not need to consider whether it lies completely below  $e$  or to the right since these comparisons were already made with the parent box  $pd$ . Hence the only two comparisons required are with respect to the sides of  $e$  not shared with the parent.

We search an R-tree node by simultaneously scanning through the bitfield at the start of the node and the entries stored at the back of the node. For each entry in an internal node, we check whether the stored sides clash with the query. We use the bit fields to determine which sides stored in  $s.s$  refer to which discriminator sides. We know that all the sides not stored in the node are the same as in the parent discriminator and therefore match the query.

We compare the opposite side  $\text{opp}(j)$  of the query

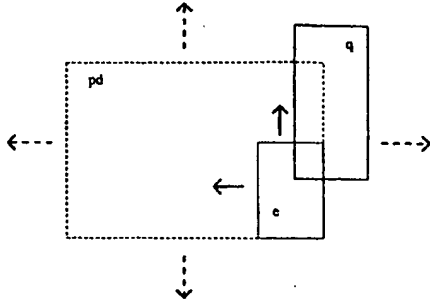


Figure 4: Reducing comparisons with partial R-trees

with side  $j$ , in the appropriate direction  $\text{dirn}(j)$  (-1 for right and top, 1 for left and bottom). If the entry matches the query, we continue search on the level below. Otherwise, we consider the next entry. For each entry in an external node, we compare all stored sides with the query and output the entry if it matches the query.

```

Search( $s, q$ )
 $l := 0$ 
for  $i := 1$  to  $s.n$ 
   $match := true$ 
  for  $j := 0$  to 3
    if ( $s[i].b[j]$ )
      if ( $\text{dirn}(j) \times s.s[l++] \geq$ 
           $\text{dirn}(j) \times q.d[\text{opp}(j)]$ )
         $match := false; break$ 
  if ( $match$ )
    case ( $s$ )
      external: Output( $s.p + i$ )
      internal: Search( $s.p + i, q$ )

 $\text{dirn}(i) = 1 - 2 \times (i \bmod 2)$ 
 $\text{opp}(i) = 2 \times (i \div 2) + 1 - (i \bmod 2)$ 

```

The search algorithm shows that the redundancy in a normal R-tree not only occurs when storing sides, but also when performing comparisons. By using partial R-trees, we reduce the number of comparisons during search at the same time as we reduce the number of sides stored in an entry.

#### 4 Storing better information

In the partial R-tree, we try to improve the performance of R-trees by eliminating redundant information, thus creating more room for other entries which results in an increased fan-out of the node. Alternatively, we can try to improve the search behaviour of the tree by using the gained space to store more descriptive information than the standard minimum bounding box. This will help to filter out unsuccessful search paths at a higher level in the tree. In the paper [Sitzmann and Stuckey, 2000], we introduced the O-tree, a constraint-based data structure, which stores an orthogonal box in addition to the standard bounding box to give a better description of the objects in the tree.

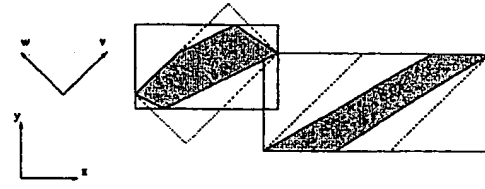


Figure 5: Approximation of polygons in a R-tree and O-tree

#### 4.1 The O-tree approach

The structure of the O-tree is similar to the R-tree. The difference is that we store two minimum bounding boxes per entry: the conventional MBB and an additional MBB along axes  $v$  and  $w$  which leave the origin at an angle of  $\pi/4$  to the  $x$  and  $y$  axes. The values of  $v$  and  $w$  can be obtained as  $v = (x + y)/\sqrt{2}$  and  $w = (y - x)/\sqrt{2}$ . Thus, an object in an O-tree is described by eight values, representing the lower and upper bounds on the four axes  $x, y, v$  and  $w$ . We can store an O-tree discriminator in an array of eight side values where the lower and upper bound of the  $x$  axis are stored in sides 0 and 1, sides 2 and 3 refer to the  $y$  axis, sides 4 and 5 to the  $v$  axis, and sides 6 and 7 to the  $w$  axis.

As shown in Figure 5, the standard MBB, depicted with solid lines, is a very poor representation for some kinds of data. Although, the two shaded polygons are far from intersecting each other, an intersection test based on the MBBs indicates an overlap. More information about the object is given if we describe the object with an additional orthogonal box (with dashed lines). Using the intersection of both boxes, the lack of overlap of the two polygons is clear.

The O-tree representation is particularly useful for line data. Figure 6 compares the area of the discriminator in an R-tree and O-tree for line data.

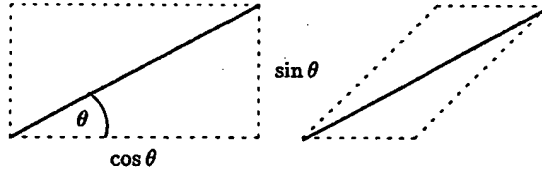


Figure 6: Size of the O-tree bounding box and the R-tree bounding box for line data

When storing a 2-d unit length line at an angle  $0 \leq \theta \leq \pi/8$  to the horizontal, the area of the bounding box is  $\cos(\theta) \sin(\theta)$ . In an O-tree, on the other hand, the area of the intersection of the bounding boxes is  $\cos(\theta) \sin(\theta) - \sin^2(\theta)$ . This means that the O-tree region bounding a line is on average  $2 - \frac{\pi}{2} \approx 0.43$  times the area of the R-tree minimum bounding box.

In our experiments, we found that O-trees indeed improve the accuracy of the search significantly. But the disadvantage of O-trees also became apparent: as we store eight numbers per entry instead of four, the fanout of the tree is significantly reduced. Therefore, the overall search performance could only be slightly improved for line data intersection queries.

The O-tree as first presented is impractical for in-memory use. For a typical 64 bytes cacheline, we can only fit 2 entries in a node.

In this paper, we transfer the O-tree approach to in-memory data structures and try to overcome the weakness of the O-tree by storing only the four most descriptive sides of the O-tree and combine this information with information obtained from the parent discriminator.

#### 4.2 A compact O-tree representation

Although eliminating shared sides also reduces the number of sides per discriminator in an O-tree, on average, we still need to store more than four sides per discriminator. The fanout of the O-tree is therefore still smaller than in the standard R-tree. We suggest applying another technique and eliminating those side of the O-tree discriminators that add no or little information about the objects they describe. The partial O-tree is based on the complete O-tree representation of a discriminator, but only the four most descriptive sides are selected for storage in the entry. Less than four sides can be selected if the discriminator shares more than four sides with its parent. The node structure is similar to the partial R-tree representation.

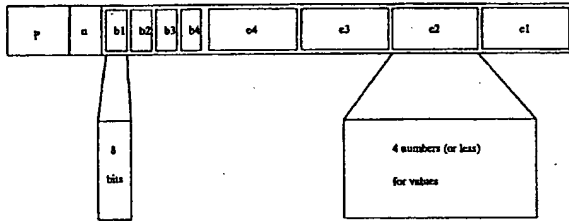


Figure 7: The node structure of a partial O-tree

The node contains a pointer and a counter. The bitfields form the first part of the remaining node, but in the partial O-tree case contain 8 bits each, indicating which sides of the entry are stored in the node. The sides are stored again in descending order at the back of the node. In most cases, we will store 4 sides per entry, but for some nodes, more information will be shared with the parent and the number of sides can be further reduced. Compared to the R-tree, we have slightly more space overhead with one additional byte per entry used as the bit vector, but we have almost halved the space requirements of the complete O-tree.

#### 4.3 Selecting the most descriptive data

A partial O-tree node is created by starting off with the complete O-tree node and for each entry repeatedly discarding the least useful information until the representation contains at most 4 sides. The algorithm `OToPartial` is the equivalent for O-trees of `ToPartial`.

We first eliminate the sides of  $t[i].d$  which are shared with its parent by setting their bits in  $s[i].b$  to *false*. As long as this bit field (considered as a set) contains more than 4 sides, we repeatedly call

`EliminateSide` to delete the side with the least importance, i.e., information, from the set of sides. Once we have reduced the set to at most four sides, we store the sides in the node and set the bitfield.

`EliminateSide` chooses the side to eliminate which causes the least increase in area of the discriminator. The area of the discriminator is the intersection of the MBB and the orthogonal MBB. We discard the side for which the discriminator shows the least increase in area if the side is eliminated.

```

OToPartial(t, pd)
  s.p := t.p
  s.n := t.n
  s.l := 0
  for i := 1 to t.n
    for j := 0 to 7
      s[i].b[j] := true
      if (pd[j] = t[i].d[j])
        s[i].b[j] := false
      while (|s[i].b| > 4)
        s[i].b := EliminateSide(pd, t[i].d, s[i].b)
    for j := 0 to 7
      if (s[i].b[j])
        s.s[s.l] := t[i].d[j]
        s.l := s.l + 1
  return s

```

Figure 8 shows an example for the elimination of sides. The minimum bounding box and orthogonal minimum bounding box depicted describe an object or a group of objects. In part (a) of the figure, all sides of both boxes are stored and their information describes the area shaded grey. (Stored sides are shown as solid lines). We can see that the lower and upper bounds of  $x$  do not add any extra information, as these bounds are given by the MOBB already. If we eliminate them, as shown in part (b), we still describe the same shaded area. Furthermore, we can observe that the lower and upper bounds of  $y$  add only little information about the object. Eliminating these from the discriminator results in an area which is slightly larger, but still a tight approximation of the object.

#### 4.4 Reconstructing the O-tree representation

For search or dynamic insertion, we reconstruct the complete O-tree discriminators. As opposed to the partial R-tree, during the conversion from the complete O-tree representation to the partial O-tree representation, information may be lost. We only store an approximation of the original O-tree discriminator, therefore the partial O-tree representation will be less accurate than the complete O-tree representation, while still being more descriptive than the R-tree information.

Algorithm `OToComplete` converts a partial O-tree node back into a complete O-tree node, i.e., an entry with eight sides. Although the entry is complete, it is only an approximation of the original complete O-tree representation. As for the partial R-tree, we start with copying the parent discriminator. We then replace the values of the sides stored with their actual values and Tighten tighten the discriminator. The resulting discriminator is an approximation of the original O-tree entry.

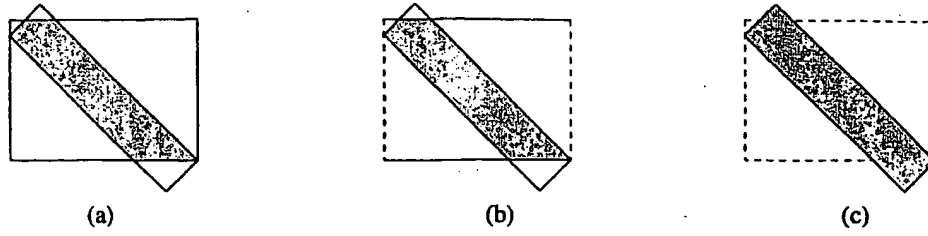


Figure 8: Eliminating sides of an O-tree discriminator

```

OToComplete(s, pd)
  t.p := s.p
  t.n := s.n
  l := 0
  for i := 1 to s.n
    d := pd
    for j := 0 to 7
      if (s[i].b[j])
        d[j] := s.s[l]
        l := l + 1
    t[i].d := Tighten(d)
  return t

```

```

Tighten(d)
  d[0] := max(d[0], (d[4] - d[7])/√2)
  d[1] := min(d[1], (d[5] - d[6])/√2)
  d[2] := max(d[2], (d[4] + d[6])/√2)
  d[3] := min(d[3], (d[5] + d[7])/√2)
  d[4] := max(d[4], (d[0] + d[2])/√2)
  d[5] := min(d[5], (d[1] + d[3])/√2)
  d[6] := max(d[6], (d[2] - d[1])/√2)
  d[7] := min(d[7], (d[3] - d[0])/√2)
  return d

```

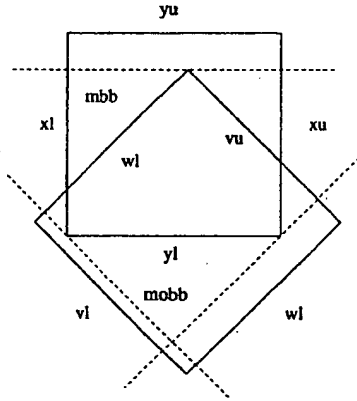


Figure 9: Tightening an O-tree discriminator

Although we do not store all information about the O-tree discriminator, we may be able to reconstruct some more information from the sides we have stored. The MBB on axes  $x$  and  $y$  also gives bounds on axes  $v$  and  $w$  and vice versa. We can thus Tighten these bounds. Figure 9 illustrates tightening on a MBB for  $x$  and  $y$  and MBB for  $v$  and  $w$  (MOBB). The MBB for  $x$  and  $y$  determines a tighter lower bound for  $v$  and  $w$ , while the MBB for  $v$  and  $w$  determines a tighter upper bound for  $y$ . The tighter bounds are illustrated by dashed lines.

In the function Tighten, boundaries of  $x$  and  $y$  based on the values of  $v$  and  $w$  of the orthogonal box are computed. The original values are replaced if the computed bounds are tighter. The same process is then performed for the orthogonal MBB.

#### 4.5 Insertion in dynamic partial O-trees

The insertion of entries in a partial O-tree is identical to the insertion for partial R-trees, replacing calls to ToPartial by OToPartial, etc. For both trees, the new representation of a node is based on the previous representation stored in the tree. In the partial R-tree, this representation is a complete and accurate representation of the entry. In the partial O-tree, this representation is already an approximation of an entry. Creating a new partial O-tree representation will therefore produce another approximation of an already approximated entry. The quality of the representation of an entry therefore deteriorates every time a representation has to be changed and is recalculated. During dynamic insertion this happens very frequently. The accuracy of object description in the partial dynamic O-tree is therefore very poor and leads to inaccurate search involving high cost. Partial dynamic O-trees therefore seem to be not useful in practice, although the very first approximation is a very accurate description of entries which provides more information than the R-tree bounding box.

We therefore suggest using the partial O-tree approach in a static environment. The partial static O-tree is generated from an existing O-tree and every discriminator in the tree is converted only once into the partial O-tree representation. The result is a partial O-tree which takes up only about half the space of the original O-tree but represents the entries in a more descriptive way than the R-tree.

#### 4.6 Building a static partial O-tree

A static partial O-tree is created from a complete O-tree. We can determine the fanout of a partial O-tree for a given node size. A complete O-tree with that fanout is created. The nodes in the complete O-trees are about twice as large as the ones in the partial O-tree. We then read the complete O-tree and convert every discriminator into the partial representation by

applying the StoreSides algorithm. The result is a partial O-tree with nodes that fit in the given node size and with the fanout of the complete (larger) O-tree. As we only had to apply the approximation step once, the discriminators in the tree are very accurate.

#### 4.7 Searching partial O-trees

We can search partial O-trees in two different ways which are different in cost and accuracy. The AccurateSearch shown below reconstructs the complete O-tree node using OToComplete before testing intersection.

```

AccurateSearch(s, pd, q)
  t := OToComplete(s, pd)
  for i := 1 to s.n
    if (intersect(t[i].d, q))
      case (s)
        external: Output(s.p + i)
        internal: AccurateSearch(s.p + i, t[i].d, q)

```

The alternative is a faster, but less accurate search algorithm similar to the partial R-tree search. The entries are not completely reconstructed, only the stored sides are compared with the query. This reduces the search time as no copying of the parent node, copying of entry sides and tightening have to be performed. FastSearch is exactly analogous to Search.

```

FastSearch(s, e)
  l := 0
  for i := 1 to s.n
    match := true
    for j := 0 to 7
      if (s[i].b[j])
        if ( $\text{dirn}(j) \times s.s[l++] \geq \text{dirn}(j) \times q.d[\text{opp}(j)]$ )
          match := false; break
    if (match)
      case (s)
        external: Output(s.p + i)
        internal: FastSearch(s.p + i, q)

```

Both search algorithms only implement the filter step which creates a set of candidate objects whose discriminator may intersect the query discriminator. The refinement step takes each candidate object in a subsequent step and checks its intersection with the query object.

## 5 Experiments

### 5.1 Description of Experiments

Our experiments were conducted on a Sun Ultra-5 with 270 MHz and 256 MByte RAM under Solaris 2.6. A level-2 cache line on our architecture is 64 bytes. We implemented the partial R-tree and partial O-tree using the CSB+ technique as described in Sections 3 and 4. We compared the partial R-trees to a normal R-tree which also uses the pointer elimination technique. For a 64 byte cacheline, traditional O-trees cannot be used as the node can only contain 2 entries. We therefore do not include results of the

lines	R-tree	Partial R-tree	Partial O-tree Accurate	Partial O-tree Fast
100	26	21	25	26
500	124	88	80	88
1000	221	159	139	152
5000	1010	724	474	513
10000	1954	1403	869	933
50000	9194	6444	4010	4295
100000	18193	12701	7613	8105

Figure 10: Average node accesses for a line data query

polys	R-tree	Partial R-tree	Partial O-tree Accurate	Partial O-tree Fast
100	56	48	55	56
500	279	209	264	266
1000	559	407	549	554
5000	2711	1982	2708	2732
10000	5305	3923	5303	5354
50000	25182	18640	25610	25863
100000	51492	38728	51021	51516

Figure 11: Average node accesses for a polygon data query

normal O-tree in our graphs and discussion. For all trees, we used the quadratic splitting algorithm.

Our test data consists of a set of randomly constructed line and polygon data relations. Each line data set contains a number of lines each with approximate length 20 in a square of area 5000. The polygon data sets contain convex polygons with up to 10 nodes and edges of length approximately 40 in a square area of 10000. The polygons are constructed by randomly creating the 10 points and using the Graham scan algorithm to calculate their convex hull. All test files fit completely into main memory.

Our experiments measure the performance for partial R-trees and partial static O-trees and compare them with the search performance of the R-tree. For each test case, we queried each tree with 10,000 random queries and measured the number of node accesses, search time, number of results and search times including the refinement step.

### 5.2 Experimental Results

Figures 10 and 11 show the average number of node accesses per query for line data and polygon data, respectively. Node accesses can be used as a rough measure for cache misses, i.e., it is the worst case number of cache misses. For the line data, the partial R-trees show a reduction of 30 per cent in the number of node accesses compared to the R-tree. The accurate partial O-tree reduces the number of node accesses by 60 per cent. The fast search on the partial O-tree still has 55 per cent less node accesses than the R-tree. For polygon data, the partial R-tree shows a similar improvement of 25 per cent. The partial O-trees, on the other hand, only reduce the number of node accesses by a marginal 1 per cent.

Measuring the search time per query for line and polygon data, we obtained the results shown in Figures 12 and 13. For line data, the partial R-tree im-

lines	R-tree	Partial R-tree	Partial Accurate	O-tree Fast
100	0.08	0.06	0.22	0.09
500	0.17	0.17	0.64	0.26
1000	0.33	0.29	1.12	0.42
5000	1.92	1.51	3.84	1.49
10000	4.11	3.20	7.03	2.79
50000	19.74	14.48	32.58	13.06
100000	38.72	28.37	61.64	24.59

Figure 12: Average search time for line data

polys	R-tree	Partial R-tree	Partial Accurate	O-tree Fast
100	0.11	0.10	0.43	0.15
500	0.31	0.37	2.09	0.68
1000	0.72	0.75	4.22	1.44
5000	5.21	4.07	21.36	7.51
10000	10.89	8.50	42.37	15.19
50000	54.10	40.30	203.94	74.29
100000	110.58	84.10	405.51	147.84

Figure 13: Average search time for polygon data

proves on the normal R-tree by about 25 per cent. The partial O-tree with accurate search shows how expensive the accurate search is: although it could decrease the number of node accesses significantly, the gained time is used to perform expensive operations. The search time of the partial accurate O-tree is 60 per cent higher than for the R-tree. The less accurate fast O-tree search algorithm, on the other hand, reduces the search time by up to 35 per cent. This shows clearly that, although the fast search is slightly less accurate and will search more subtrees, its faster execution time results in the best performance. For polygon data, the partial R-tree reduces search time by up to 25 per cent compared to the normal R-tree. The partial O-trees do not improve on the R-tree. Again, the accurate O-tree search suffers from the high computation cost and shows an increase of 250 per cent. Even the fast O-tree search shows a slight increase in search time. While showing a great improvement for line data, the additional orthogonal bounding box of O-trees does not seem to help to make search on polygon data more efficient.

Nevertheless, as shown in Figures 14 and 15, it still reduces the number of hits in the filter step significantly. We have included the number of results for a complete O-tree with the same fanout to have a measure of the best possible reduction in results.

Compared to the R-tree and partial R-tree, both of which have the same number of hits, the complete O-tree reduces the number of results by 65 per cent for line data and 25 per cent for polygon data. The accurate search partial O-tree still achieves a 64 per cent reduction for line data and 23 per cent for polygon data. The fast O-tree search is slightly less accurate, but can still show a reduction of 64 per cent for line data and 20 per cent for polygon data.

We can now compare the search time of the search trees if we take the refinement step into account. The refinement step takes the set of results obtained by searching the tree in the filter step and tests for ac-

lines	(Partial) R-tree	Partial Accurate	O-tree Fast	O-tree
100	232	85	110	85
500	1175	418	516	416
1000	2283	805	953	805
5000	11751	4155	4498	4155
10000	23417	8286	8809	8282
50000	116440	41177	43223	41131
100000	233360	82657	85969	82581

Figure 14: Total number of results for line data (in thousands)

polys	(Partial) R-tree	Partial Accurate	O-tree Fast	O-tree
100	595	467	486	456
500	2833	2192	2287	2155
1000	5745	4422	4583	4371
5000	28474	22057	22875	21725
10000	56938	44033	45608	43419
49999	283970	218826	225952	216042
100000	567204	436057	449977	430840

Figure 15: Total number of results for polygon data (in thousands)

tual intersection of the query object and the object in the candidate result set. The search times for this experiment are shown in Figures 16 and 17.

lines	R-tree	Partial R-tree	Partial Accurate	O-tree Fast
100	0.10	0.09	0.25	0.14
500	0.31	0.31	0.79	0.42
1000	0.66	0.66	1.36	0.72
5000	4.22	3.47	4.85	2.63
10000	8.67	7.06	9.11	5.10
50000	43.17	34.46	43.30	24.02
100000	87.13	68.72	81.69	45.80

Figure 16: Average search time for line data including refinement time

As the number of results does not change, the improvement of the partial R-tree compared to the normal R-tree is similar for search including the refinement step. For the O-trees, on the other hand, the relative performance to the R-tree has changed. The accurate search O-tree now shows a slight improvement over the R-tree for the large line data file and similar performance for the other line data sets. The fast search O-tree now shows a reduction in search time of up to 60 per cent, again for the larger files. For polygon data, even the reduced number of candidates for the refinement step does make the partial O-tree competitive. For the accurate search, the search time now is 60 higher than for the R-tree and still no improvement is shown for the fast O-tree search on polygon data.

polys	R-tree	Partial R-tree	Partial Accurate	O-tree Fast
100	0.27	0.26	0.62	0.35
500	1.12	1.17	2.86	1.53
1000	2.48	2.40	5.86	3.20
5000	14.91	13.15	30.08	16.85
10000	30.38	26.78	59.47	33.50
50000	153.34	132.38	290.43	163.11
100000	311.89	267.86	574.49	324.38

Figure 17: Average search time for polygon data including refinement time

## 6 Summary

We investigated how to make better use of the space in a small R-tree node for in-memory applications. As many entries share sides with their parents, we introduced the partial R-tree which only stores information that is not given by the parent node. Our experiments showed that the partial R-tree shows better performance than the R-tree for random line queries on line and polygon data. The improvements range from 10 to 30 per cent. This is due to a higher fan-out of the node which was four, compared to three in the normal R-tree. We also investigated if we could make better use of the space by storing different information that promises to yield a better approximation of the entry. The partial O-tree is based on the O-tree but stores only the most important part of the information of an O-tree box. We implemented a static version of the partial O-tree and investigated two search algorithms. The fast search algorithm still shows enough accuracy and showed improvements of 35 per cent for line data without the refinement step and 60 per cent improvement for line data with the refinement step. For polygon data, search could not be improved, but the static partial O-tree still showed stable performance similar to the R-tree.

## 7 Future Work

We will investigate if we can further improve the fan-out of the tree by storing the bitfields encoded using the Huffman-encoding. Furthermore, we will also experiment with static partial O-trees in a disk-based database environment.

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